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ASA-5051

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of

K. SHIMADA et al

Serial No. 10/780,772

Group Art Unit: 2189

Filed: February 19, 2004

Examiner: H.L. FLOURNOY

For: STORAGE HAVING LOGICAL PARTITIONING
CAPABILITY AND SYSTEMS WHICH INCLUDE
THE STORAGE

INFORMATION DISCLOSURE STATEMENT (IDS)
UNDER § 1.97 AND § 1.98

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

May 25, 2006

Sir:

1. This IDS should be considered:

(a) when filed within three months of the filing date of the present application, or within three months of the filing date of the National Stage as set forth in § 1.491 in an international application, or before the mailing date of a first Office Action on the merits, whichever occurs last;

(b) when filed before the mailing date of either a Final Rejection under § 1.113 or a Notice of Allowance under § 1.311, whichever occurs first and when 1(a) does not apply. For this purpose, there is included herein either a certification in section 4 below (included when indicated by a marked box), or a fee of \$180.00 (a check in the amount of \$180.00 is enclosed, or if not see section 5 below);

(c) when filed prior to the payment of the Issue Fee, when 1(a)-(b) do not apply, and when a certification is included in section 4 below (included when indicated by a marked box); then the Applicant(s) hereby petition(s) and request(s) consideration of this IDS, and provided herewith is a fee of \$180.00 (a check in the amount of \$180.00 to cover the petition fee, or if not see section 5 below).

2. When 1(a)-(c) do not apply, then it is requested that this IDS be placed in the file.

3. Listing of the information submitted is on the attached Form PTO-1449, which forms a part of this IDS. A copy of each listed document is enclosed when needed (needed for U.S. and foreign patents, publication or portion thereof listed; no copy of a U.S. patent application is needed; a copy of a document is not needed when previously submitted or previously cited by the PTO in a parent application of the present application as set forth under 35 U.S.C. § 120).

4. The undersigned hereby states:

☐ (a) that each item of information contained in this IDS was first cited in any communication from a foreign patent office in a counterpart foreign application, as indicated on the copy of the communication submitted herewith, which communication was dated not more than three months prior to the filing of this IDS; or

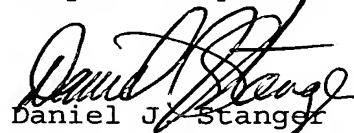
☐ (b) that no item of information contained in this IDS was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the undersigned after making reasonable inquiry, was known to any individual designated in § 1.56(c) more than three months prior to the filing of this IDS.

5. No explanation of relevancy is being provided for the documents listed in the attached PTO-1449 Form, because each is either in the English language and/or discussed in the present Specification. The references cited herein were cited in the parent application.

6. If a fee or additional fee is required, the Commissioner is hereby authorized to charge any fee or additional fee that may be required and credit any excess to Deposit Account No. 50-1417.

7. If the PTO determines that part(s) of the required content is inadvertently omitted, then it is requested that the Applicant(s) be given additional time and specific identification of such omission(s) to enable full compliance.

Respectfully submitted,

A handwritten signature in dark ink, appearing to read "Daniel J. Stanger", is written over the printed name.

Daniel J. Stanger
Registration No. 32,846
Attorney for Applicants

MATTINGLY, STANGER, MALUR & BRUNDIDGE, P.C.
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(703) 684-1120
Date: May 25, 2006



FORM PTO-1449 (REV. 7-80)	U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTY. DOCKET NO. ASA-5051	SERIAL NO. 10/780,772
LIST OF DOCUMENTS CITED BY APPLICANT (Use several sheets if necessary)		APPLICANT K. SHIMADA et al.	
		FILING DATE February 19, 2004	GROUP 2189

U.S. PATENT DOCUMENTS

* EXAMINER INITIAL	DOCUMENT	DATE	NAME	CLASS	SUBCLASS	FILING DATE (If Appropriate)
AA	6,502,162	12/31/02	Blumenau et al			
AB	6,715,031	3/30/04	Camble et al			
AC	2002/ 0095602	7/18/02	Pherson et al			
AD	2002/ 0103913	8/01/02	Tawil et al			
AE	2002/ 0104008	8/01/02	Cochran et al			
AF	2003/ 0055972	3/20/03	Fuller et al			
AG	2003/ 0115447	6/19/03	Pham et al			
AH	2004/ 0064729	4/01/04	Yellepeddy			
AI	2001/ 0047482	11/29/01	Harris et al			
AJ						
AK						

FOREIGN PATENT DOCUMENTS

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AL	2002- 149599	5/24/92	JP (w English Abstract)			<input type="checkbox"/>	<input type="checkbox"/>
AM	5-128002	5/25/93	JAPAN			<input type="checkbox"/>	<input type="checkbox"/>
AN						<input type="checkbox"/>	<input type="checkbox"/>

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, etc.)

AR	Buck, A.L. et al, "The Storage Server as Virtual Volume Manager",
	IEEE Comput. Soc., April 1993, USA 26-29, pp. 79-86.
AS	Gelb, J.P., "System-Managed Storage", IBM Systems Journal,
	Vol. 28, No. 1, Jan. 1989, pp. 77-103.
AT	Kaczmariski, M. et al, "Beyond Backup Toward Storage Management",
	IBM Systems Journal, Vol. 42, No. 2, 2003, pp. 322-337.

EXAMINER	DATE CONSIDERED
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* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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U.S. PATENT DOCUMENTS

* EXAMINER INITIAL	DOCUMENT	DATE	NAME	CLASS	SUBCLASS	FILING DATE (If Appropriate)
AA	5,657,470	08/12/97	Fisherman et al			
AB	6,275,824	08/14/01	O'Flaherty et al			
AC	6,275,825	08/14/01	Kobayashi et al			
AD	6,502,193	12/31/02	Barber			
AE	2002/ 0099837	07/25/02	Oe et al			
AF	2003/ 0023868	01/30/02	Parent			
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FOREIGN PATENT DOCUMENTS

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AO							<input type="checkbox"/>
AP						<input type="checkbox"/>	<input type="checkbox"/>

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, etc.)

AR	"Freedom Storage Lightning 9900 V Series", User and Reference Guide, Hitachi Data Systems Corp., 2002, pp. iii-124.
AS	

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U.S. PATENT DOCUMENTS							
* EXAMINER INITIAL		DOCUMENT	DATE	NAME	CLASS	SUBCLASS	FILING DATE <i>(If Appropriate)</i>
	AA	6,275,898	08/14/01	DeKoning			
	AB	6,289,398	09/11/01	Stallmo et al			
	AC	6,425,049	07/23/02	Yamamoto et al			
	AD	6,507,905	01/14/03	Hubacher et al			
	AE	6,519,679	02/11/03	Devireddy et al			
	AF	6,615,324	09/02/03	Fernald			
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U.S. PATENT DOCUMENTS							
* EXAMINER INITIAL		DOCUMENT	DATE	NAME	CLASS	SUBCLASS	FILING DATE <i>(If Appropriate)</i>
	AA	6,665,786	12/16/03	McMichael et al			
	AB	6,728,836	04/27/04	Lambright et al			
	AC	6,772,287	08/03/04	Uchiyama et al			
	AD	6,851,022	02/01/05	Ikeuchi et al			
	AE	2002/ 0107810	08/08/02	Nishio et al			
	AF	2003/ 0014600	01/16/03	Ito et al			
	AG	2004/ 0010563	01/15/04	Forte et al			
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* EXAMINER INITIAL		DOCUMENT	DATE	NAME	CLASS	SUBCLASS	FILING DATE <i>(If Appropriate)</i>
	AA	6,148,368	11/14/00	DeKoning			
	AB	6,341,331	01/22/02	McNutt			
	AC	6,347,358	02/12/02	Kuwata			
	AD	2003/ 0196055	10/16/03	Kamano et al			
	AE	2004/ 0111557	06/10/04	Nakatani et al			
	AF	2004/ 0139168	07/15/04	Tanaka et al			
	AG	2004/ 0193803	09/30/04	Mogi et al			
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* EXAMINER INITIAL	DOCUMENT	DATE	NAME	CLASS	SUBCLASS	FILING DATE (If Appropriate)
AA	6,484,173	11/19/02	O'Hare et al			
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FOREIGN PATENT DOCUMENTS

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* EXAMINER INITIAL	DOCUMENT	DATE	NAME	CLASS	SUBCLASS	FILING DATE <i>(If Appropriate)</i>	
	AA	2003/ 0115218	06/2003	Bobbitt et al			
	AB	6,542,961	04/01/03	Matsunami			
	AC	6,606,695	08/12/03	Kamano			
	AD	2004/ 0153605	08/05/04	Nakamura			
	AE	2003/ 0229698	12/11/03	Furahashi			
	AF	2003/ 0120743	06/26/03	Coatney			
	AG	2003/ 0115282	06/19/03	Rose			
	AH	2004/ 0153710	08/05/04	Fair			
	AI	6,718,481	04/06/04	Fair			
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	AL	1321848	12/20/02	EP		<input checked="" type="checkbox"/>	<input type="checkbox"/>
	AM	2002- 230189	08/2002	JP (with English Abstract)		<input type="checkbox"/>	<input type="checkbox"/>
	AN	2003- 30053	1/2003	JP (with English Abstract)		<input type="checkbox"/>	<input type="checkbox"/>
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OTHER DOCUMENTS <i>(Including Author, Title, Date, Pertinent Pages, etc.)</i>							
	AR	Swartz, K., "Multiple Volumes and Multiple RAID Groups on NetApp Fliers", Network Appliance Report TR 3027, no date, from Google cache online.					
	AS	Rangel, G., "Hitachi Freedom Storage: Thunder 9200 Architecture and Performance Configuration Guidelines", Hitachi Data Systems, 2001, pp.1-27.					
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U.S. PATENT DOCUMENTS

* EXAMINER INITIAL	DOCUMENT	DATE	NAME	CLASS	SUBCLASS	FILING DATE (If Appropriate)
AA	6,594,775	07/15/03	Fair			
AB	6,691,209	02/10/04	O'Connell			
AC	6,865,157	03/08/05	Scott			
AD	6,904,470	06/07/05	Ofer			
AE	5,973,690	10/26/99	Ofer			
AF	6,507,896	12/14/03	Sanada			
AG	2004/ 0168033	08/26/04	Sanada			
AH	6,523,096	02/18/03	Sanada			
AI	2002/ 0083285	06/27/02	Sanada			
AJ	6,609,180	08/18/03	Sanada			
AK	2002/ 0010843	01/24/02	Sanada			

FOREIGN PATENT DOCUMENTS

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U.S. PATENT DOCUMENTS							
* EXAMINER INITIAL		DOCUMENT	DATE	NAME	CLASS	SUBCLASS	FILING DATE <i>(If Appropriate)</i>
	AA	6,728,844	04/27/04	Sanada			
	AB	2001/ 0011333	08/02/01	Sanada			
	AC	2001/ 0011332	08/02/01	Sanada			
	AD	6,877,073	08/05/05	Sanada			
	AE	2001/ 0008010	07/12/01	Sanada			
	AF	2005/ 0172052	08/04/05	Sanada			
	AG	6,910,102	06/21/05	Matsunami			
	AH	6,701,410	03/02/04	Matsunami			
	AI	2004/ 0158673	08/12/04	Matsunami			
	AJ	2005/ 0033914	02/10/05	Matsunami			
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	AA	6,701,411	03/02/04	Matsunami			
	AB	6,851,029	02/01/05	Matsunami			
	AC	2002/ 0091898	07/11/02	Matsunami			
	AD	2002/ 0095549	07/18/02	Matsunami			
	AE	2003/ 0191910	10/09/03	Matsunami			
	AF	2001/ 0047463	11-29-01	Kamano			
	AG	2004/ 0199736	10/07/04	Kamano			
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	AA	2002/ 0099914	07/2002	Matsunami et al			
	AB	2005/ 0166074	07/2005	Hack, Mark Elliott			
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AA	6,742,034	05/2004	Schubert et al			
AB	2005/ 0021727	01/2005	Matsunami et al			
AC	2004/ 0215915	10/2004	Block et al			
AD	2002/ 0161891	10/2002	Higuchi et al			
AE	2003/ 0177176	09/2003	Hirschfeld et al			
AF	2004/ 0210591	10/2004	Hirschfeld et al			
AG	2004/ 0215859	10/2004	Armstrong et al			
AH	2004/ 0215860	10/2004	Armstrong et al			
AI	2004/ 0181589	09/2004	Suleiman, Yaser I.			
AJ	6,839,796	01/2005	Dawson et al			
AK	2003/ 0115438	06/2003	Mahalingam et al			

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LIST OF DOCUMENTS CITED BY APPLICANT <i>(Use several sheets if necessary)</i>				APPLICANT K. SHIMADA et al			
				FILING DATE February 19, 2004		GROUP 2189	
U.S. PATENT DOCUMENTS							
* EXAMINER INITIAL		DOCUMENT	DATE	NAME	CLASS	SUBCLASS	FILING DATE <i>(If Appropriate)</i>
	AA	2005/ 0005064	01/2005	Ito et al			
	AB	6,684,209	01/2004	Ito et al			
	AC	2002/ 0052914	05/2002	Zalewski et al			
	AD	2004/ 0003063	01/2004	Ashok et al			
	AE	2004/ 0212511	10/2004	Ahrens et al			
	AF	2005/ 0050085	03/2005	Shimada et al			
	AG	6,343,324	01/2002	Hubis et al			
	AH	2004/ 0163028	08/2004	Olarig			
	AI	6,690,400	02/2004	Moayyad et al			
	AJ						
	AK						
FOREIGN PATENT DOCUMENTS							
		DOCUMENT	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES NO
	AL						<input type="checkbox"/> <input type="checkbox"/>
	AM						<input type="checkbox"/> <input type="checkbox"/>
	AN						<input type="checkbox"/> <input type="checkbox"/>
	AO						<input type="checkbox"/> <input type="checkbox"/>
	AP						<input type="checkbox"/> <input type="checkbox"/>
OTHER DOCUMENTS <i>(Including Author, Title, Date, Pertinent Pages, etc.)</i>							
	AR						
	AS						
EXAMINER				DATE CONSIDERED			
<small>* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.</small>							

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LIST OF DOCUMENTS CITED BY APPLICANT <i>(Use several sheets if necessary)</i>				APPLICANT K. SHIMADA et al			
				FILING DATE February 19, 2004		GROUP 2189	
U.S. PATENT DOCUMENTS							
* EXAMINER INITIAL		DOCUMENT	DATE	NAME	CLASS	SUBCLASS	FILING DATE <i>(If Appropriate)</i>
	AA	2001/ 0027501	10/2001	O'Hare et al			
	AB	2001/ 0020254	09/2001	Blumenau et al			
	AC	5,765,153	06/1998	Benantar et al			
	AD	2005/ 0120171	06/2005	Yasukawa et al			
	AE	2005/ 0149677	07/2005	Shimada et al			
	AF						
	AG						
	AH						
	AI						
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FOREIGN PATENT DOCUMENTS							
		DOCUMENT	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES NO
	AL	2002- 259214	2002	JAPAN			<input type="checkbox"/> <input type="checkbox"/>
	AM	1341074	2003	EUROPE			<input type="checkbox"/> <input type="checkbox"/>
	AN						<input type="checkbox"/> <input type="checkbox"/>
	AO						<input type="checkbox"/> <input type="checkbox"/>
	AP						<input type="checkbox"/> <input type="checkbox"/>
OTHER DOCUMENTS <i>(Including Author, Title, Date, Pertinent Pages, etc.)</i>							
	AR	B.W. Lampson, "Protection" Operating Systems Review, ACM Press, XX, vol. 8, No. 1, January 1974, pp. 18-24.					
	AS						
EXAMINER				DATE CONSIDERED			
<small>* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.</small>							

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LIST OF DOCUMENTS CITED BY APPLICANT <i>(Use several sheets if necessary)</i>				APPLICANT K. SHIMADA et al			
				FILING DATE February 19, 2004		V	
U.S. PATENT DOCUMENTS							
* EXAMINER INITIAL		DOCUMENT	DATE	NAME	CLASS	SUBCLASS	FILING DATE <i>(If Appropriate)</i>
	AA	6,898,672	05/24/05	Lambright et al			
	AB	2004/ 0088417	05/06/04	Bober et al			
	AC	6,457,102	09/24/02	Lambright et al			
	AD	2003/ 0005456	01/2003	Naganuma et al			
	AE						
	AF						
	AG						
	AH						
	AI						
	AJ						
	AK						
FOREIGN PATENT DOCUMENTS							
		DOCUMENT	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES NO
	AL	2003- 157177	05/30/03	JP (with English Abstract)			<input type="checkbox"/> <input type="checkbox"/>
	AM						<input type="checkbox"/> <input type="checkbox"/>
	AN						<input type="checkbox"/> <input type="checkbox"/>
	AO						<input type="checkbox"/> <input type="checkbox"/>
	AP						<input type="checkbox"/> <input type="checkbox"/>
OTHER DOCUMENTS <i>(Including Author, Title, Date, Pertinent Pages, etc.)</i>							
	AR						
	AS						
EXAMINER				DATE CONSIDERED			
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